

PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/003,091
Filing Date	November 2, 2001
First Named Inventor	Joern Ostermann
Art Unit	2157
Examiner Name	Abdullahi Elmi Salad
Attorney Docket Number	2000-0600A

Total Number of Pages in This Submission

ENCLOSURES (Check all that apply)

- | | | |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance communication to Technology Center (TC) |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment/Reply | <input type="checkbox"/> Petition | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Terminal Disclaimer | <input type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Request for Refund | PTO Form 1449 (3 Pages) |
| <input checked="" type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> CD, Number of CD(s) _____ | Six Non-Patent References |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | Remarks | |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application | | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Richard C. Irving, 38,499
Signature	<i>Richard C. Irving</i>
Date	May 9, 2005

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Richard C. Irving		
Signature	<i>Richard C. Irving</i>	Date	May 9, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re Application of:

Joern Ostermann

Serial No.: **10/003,091**

Filed: **November 2, 2001**

**FOR: SYSTEM AND METHOD FOR
RECEIVING MULTI-MEDIA
MESSAGES**

:
:
:
: Attorney Ref.: **2001-0600A**
:
: Art Unit: **2157**
:
: Examiner: **Abdullahi Elmi Salad**
:
:

**The Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08A. Unless otherwise indicated herein, one copy of each reference that is not a US Patent reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56(b).

- ☐ 1. This information disclosure statement is being filed within three months of the filing date of a national application other than a continued prosecution application under §1.53(d); within three months of the date of the entry of the national stage as set forth in §1.491 in an international application; before the mailing of a first Office action on the merits; or before the mailing of a first Office action after the filing of a request for continued examination under §1.114. No certification or fee is required. (37 C.F.R. §1.97(b)). If a first office action was mailed before the filing of this IDS, please debit deposit account 502960 the necessary fees set forth in 37 C.F.R. §1.17(p) to proceed to consider the cited references.
- ☒ 2. This information disclosure statement is being filed more than three months after the filing date of a national application other than a continued prosecution application under §1.53(d); more than three months after the date of the entry of the national stage as set forth in §1.491 in an international application; after the mailing date of a first Office action on the merits, or after the mailing of a first Office action after the filing of a request for continued examination under §1.114, but before the mailing date of any of a Final action under §1.113, a Notice of Allowance under §1.311 or an action that otherwise closes prosecution in the application. (37 C.F.R. §1.97(c)).
- ☐ a. I hereby certify that each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent

office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement. (37 C.F.R. §1.97 (e)(1)).

☒ b. Except for the resubmission of references that were previously submitted with incorrect patent numbers and except for the resubmission of non-patent references that were listed on previous PTO-1449 forms, without the non-patent references themselves being submitted to the Patent Office, I hereby certify that no item of new information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and to my knowledge after making reasonable inquiry, no item of new information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement. (37 C.F.R. §1.97 (e)(2)).

☐ c. Attached is a credit card payment form and Fee Transmittal for payment of \$180 to cover the fee under 37 C.F.R. §1.17(p) and to ensure consideration of the disclosed information. If necessary to process this IDS, please debit Deposit Account No. 502960 any additional amount in order to ensure consideration of this IDS.

☐ 3. This information disclosure statement is being filed after the mailing date of any of a Final action under §1.113, a Notice of Allowance under §1.311, or an action which otherwise closes prosecution, whichever occurs first, but on or before payment of the Issue Fee. (37 C.F.R. §1.97(d)).

☐ a. I hereby certify that each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement. (37 C.F.R. §1.97(e)(1)).

☐ b. I hereby certify that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement. (37 C.F.R. §1.97(e)(2)).

☐ c. Please debit Deposit Account No. _____ in the amount of _____ to cover the fee under 37 C.F.R. §1.17(p) and ensure consideration of the disclosed information.

Respectfully submitted,

By: Richard C. Irving

Date: May 9, 2005

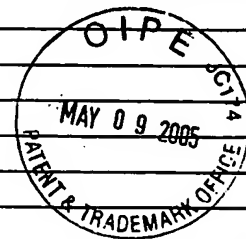
Correspondence Address:
Samuel H. Dworetzky
AT&T Corp.
Room 2A-207
One AT&T Way
Bedminster, NJ 07921

Richard C. Irving
Attorney for Applicants
Reg. No. 38,499
Phone: 410-414-3056
Fax No.: 410-510-1433

PATENT APPLICATION

PTO/SB/08A MODIFIED

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	10/003,091
		Filing Date	November 2, 2001
		First Named Inventor	Joern Ostermann
		Group Art Unit	2157
		Examiner Name	Abdullahi Elmi Salad
Sheet 1 of 4	Attorney Docket Number	2001-0600A	



U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		US-6,466,213		Bickmore, et al.	10-2002	
		US-6,018,744		Mamiya, et al.	01-2000	
		US-5,537,662		Sato, et al.	7-1996	
		US-6,532,011		Francini, et al.	03-2003	
		US-6,147,692		Shaw, et al.	11-2000	
		US-4,276,570		Burson, et al.	06-1981	
		US-5,638,502		Murata, Yoshiyuki	06-1997	
		US-5,818,461		Rouet, et al.	10-1998	
		US-6,476,815		Ando, Tsutomu	11-2002	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁵
		Office ³	Number (if known)	Kind Code ²				
Examiner Signature					Date Considered			

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	1	H. Noot, Zs.M. Rutkay, CharToon 2.0 Manual January 31, 2000	<input type="checkbox"/>

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents ³Enter Office that issued the document, by the two letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

PATENT APPLICATION

PTO/SB/08A MODIFIED

Substitute for form 1449A/PTO

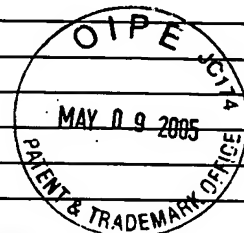
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	2	of	24
-------	---	----	----

Complete if Known

Application Number	10/003,091
Filing Date	November 2, 2001
First Named Inventor	Joern Ostermann
Group Art Unit	2157
Examiner Name	Abdullahi Elmi Salad
Attorney Docket Number	2001-0600A



U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		US-6,381,346		Erasian, Arsev H.	4-2002	
		US-5,995,639		Kado, et al.	11-1999	
		US-5,689,618		Gasper, et al.	11-1997	
		US-6,384,829		Prevost, et al.	05-2002	
		US-5,347,306		Nitta, Tohei	09-1994	
		US-5,850,463		Horii, Kazuya	12-1998	
		US-4,602,280		Maloomian, Laurence G.	07-1986	
		US-6,643,385		Bravomalo, Mario J.	11-2003	
		US-5,113,493		Crosby, C. Scott	05-1992	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ³
		Office ³	Number (if known)	Kind Code ²				
Examiner Signature					Date Considered			

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

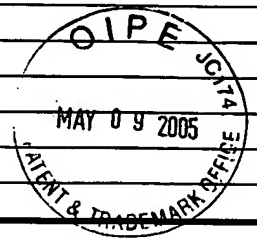
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	2	LIJUN YIN, A. BASU; MPEG4 face modeling using fiducial points, IEEE; Image Processing, 1997. Proceedings., International Conference on, Volume: 1, 26-29 Oct. 1997	<input type="checkbox"/>

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents ³Enter Office that issued the document, by the two letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

PATENT APPLICATION

PTO/SB/08A MODIFIED

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	10/003,091
		Filing Date	November 2, 2001
		First Named Inventor	Joern Ostermann
		Group Art Unit	2157
		Examiner Name	Abdullahi Elmi Salad
Sheet <u>3</u> of <u>24</u>	Attorney Docket Number	2001-0600A	



U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code² (if known)			
		US-6,215,505		Minami, et al.	04-2001	
		US-6,417,853		Squires, et al.	07-2002	
		US-5,880,731		Liles, et al.	03-1999	
		2001/0050661 A1		Keys et al.	12-2001	
		2002/0109680 A1		Orbanes et al.	08-2002	
		2002/0050689 A1		Park	12-2001	
		2004/0091154 A1		Cote	05-2004	

FOREIGN PATENT DOCUMENTS

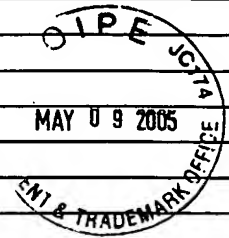
Examiner Initials*	Cite No.¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T²
		Office³	Number (if known)	Kind Code²				
Examiner Signature					Date Considered			

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
	3	BICKMORE, et al., Animated Autonomous Personal Representatives, ACM, International Conference on Autonomous Agents, Proceedings of the Second International Conference on Autonomous Agents, pages 8-15, 1998	<input type="checkbox"/>

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents ³Enter Office that issued the document, by the two letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)			Complete if Known		
			Application Number	10/003,091	
			Filing Date	November 2, 2001	
			First Named Inventor	Joern Ostermann	
			Group Art Unit	2157	
			Examiner Name	Abdullahi Elmi Salad	
Attorney Docket Number	2001-0600A				
Sheet	4	of	4		



U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ³
		Office ³	Number (if known)	Kind Code ²				
Examiner Signature					Date Considered			

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	4	THORISSON, KRISTINN R. "ToonFace: A System for Creating and Animating Interactive Cartoon Faces." MIT Media Laboratory Learning and common Sense Section Technical Report, pp. 96-101, April 1996	<input type="checkbox"/>
	5	POLLACK, "Happy in the East or Smiling in the West", New York Times. 12, August 1996.	<input type="checkbox"/>
	6	DAVID KURLANDER, TIM SKELLY, DAVID SALESIN, "Comic Chat", Proceedings of the 23rd Annual Conference on Computer Graphics and Interactive Techniques, August 1996	<input type="checkbox"/>

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

**EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated in the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.